

CHAPTER 26
COUNTY MAINTENANCE OF EFFORT CALCULATIONS AND REPORTING

PREAMBLE

These rules set guidelines for content, due dates and methodology for reporting county overall maintenance of effort, expenditures for candidate services and base year expenditures. The maintenance of effort legislation serves to ensure counties maintain a certain level of expenditure for persons with mental retardation, developmental disabilities and chronic mental illness while at the same time it provides protection that counties are not liable for increased expenditures caused by Medicaid enhanced services.

441—26.1(72GA,ch1276) Definitions.

“Administrator” means the administrator of the division of mental health, mental retardation, and developmental disabilities.

“Candidate services” means:

1. Those services which have been added to the Medicaid state plan and are in effect as a result of enhanced services legislation. Current candidate services include case management, day treatment and partial hospitalization. When day rehabilitation is accepted by Medicaid through state plan amendment or waiver, it will be included as a candidate service for purposes of maintenance of effort.

2. Any services which were delivered in the same manner as in “1” or differ only in administrative matters (i.e., personnel policies, required reports, board composition, etc.)

“County expenditures” means county-generated revenues exclusive of state or federal funding streams, third-party payments or contributions expended for liabilities accrued during the fiscal year.

“Oversight committee” means the enhanced mental health, mental retardation, and developmental disabilities services plan oversight committee.

441—26.2(72GA,ch1276) Maintenance of effort and candidate service expenditure report.

26.2(1) Contents. Counties shall submit Form 470-2586, County Maintenance of Effort Report, each fiscal year which shall contain at least the following expenditure information:

a. The amount reported by each county for:

(1) Overall maintenance of effort expenditures for the fiscal year, which shall include all county expenditures for persons with chronic mental illness, mental retardation, and developmental disabilities.

(2) Candidate service expenditures, which shall include all county expenditures for candidate services delivered for persons with chronic mental illness, mental retardation, and developmental disabilities.

b. The Medicaid match paid by each county as billed by the state as the county share of Medicaid candidate service provision.

c. A report of the expenditure of funds carried over from the previous fiscal years broken down by population group and service. “Funds carried over” means the amount by which county expenditures were less than the maintenance of effort amount and carried forward into the next fiscal year for the purpose of providing services to persons with mental retardation, a developmental disability, or mental illness including, but not limited to, persons with chronic mental illness.

26.2(2) Date of submission. The first report for maintenance of effort shall be submitted to the administrator on or before October 15, 1989, and shall contain fiscal year 1987 (base year) expenditures and fiscal year 1989 expenditures. Each subsequent report shall be due on October 15 and shall contain expenditure data for the previous fiscal year.

441—26.3(72GA,ch1276) Overall maintenance of effort computations.

26.3(1) For calculating the total expenditures for services that were delivered in the base year (fiscal year 1987) for persons with mental retardation, a developmental disability, or chronic mental illness, a county shall use one of the following methods:

- a. Report actual expenditures for the fiscal year for each population group.
- b. Apply the fiscal year 1989 ratio of expenditures for persons with mental retardation, a developmental disability, or chronic mental illness to overall county expenditures to fiscal year 1987 overall county expenditures. This option may be used by counties who meet all of the following criteria:
 - (1) Provided actual data for fiscal year 1989.
 - (2) Have not experienced a significant detectable change in the service delivery system. Examples that could effect significant change would be the privatization of a county care facility, a large change in service policy or philosophy, etc.
 - (3) Included all expenditures referred to in the inclusions section of these rules.
 - c. Another method designed by the county and approved by the administrator.

26.3(2) Specific inclusions in maintenance of effort. In addition to the mental health line items, expenditures from the following general line items shall be included in the report to the extent that they were made on behalf of persons with mental retardation, a developmental disability, or chronic mental illness.

1. General relief.
2. Protective payee.
3. Case management.
4. Paratransit or transportation.
5. Meals on wheels.
6. County care facility.
7. County share of departmental administrative support costs.
8. Homemaker-home health aide.
9. Veterans' affairs.
10. Guardianship or conservatorship.
11. Sheriff's transportation.
12. Commitment or evaluation.

26.3(3) In cases where a county has not tracked all expenditures in these categories for persons with mental retardation, a developmental disability, or chronic mental illness, a sample of at least two months can be taken within the county to log these expenditures. The resultant sample, if considered by the county to be representative, can be extrapolated to estimate the county annual actual expenditure for persons with mental retardation, a developmental disability, or mental illness in each of the unknown areas.

441—26.4(72GA,ch1276) Candidate service expenditure computations. For the purpose of calculating expenditures for candidate services the county shall include any expenditures for candidate services as defined in rule 441—26.1(72GA,ch1276).

441—26.5(72GA,ch1276) Notice of decision. The administrator shall notify the county within 30 days of receipt of the report of acceptance or disagreement with the report, or the administrator may request clarification of any portion of the report.

441—26.6(72GA,ch1276) Request for clarification. A county shall have 15 working days from the date of the notice within which to respond to a request for clarification from the administrator.

441—26.7(72GA,ch1276) Reimbursement. The county report shall be considered as the county's application for reimbursement, if applicable.

441—26.8(72GA,ch1276) Appeals. Any county dissatisfied with the administrator's decision regarding the acceptance of a maintenance of effort report may file an appeal with the oversight committee. The letter of appeal must be submitted within ten working days of the date of the notice of decision and must include a request for the oversight committee to review the decision and the reasons for dissatisfaction. The oversight committee shall issue a decision on the appeal and notify the county within 30 working days of the date of receipt of the appeal.

441—26.9(72GA,ch1276) Noncompliance. Counties found to be out of compliance with the requirements of this chapter shall be reported to the oversight committee.

These rules are intended to implement 1988 Iowa Acts, chapter 1276, section 14.

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CHAPTER 27

Reserved